

F:\P\J 13 Oct 2006

PTO/SB/08a (08-03 )

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Not for submission under 37 CFR 1.99)</i>	Application Number	09546031
	Filing Date	2000-04-10
	First Named Inventor	Christopher Keith
	Art Unit	3628
	Examiner Name	Clement B. Graham
	Attorney Docket Number	IVEN125461

U.S.PATENTS						Remove
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
CC	1	3702007	A	1972-10-31	Davis II	
CC	2	4346442	A	1982-08-24	Musmanno	
CC	3	4376978	A	1983-03-15	Musmanno	
CC	4	4456957	A	1984-06-26	Schieltz	
CC	5	4823265	A	1989-04-18	Nelson	
CC	6	5077665	A	1991-12-31	Silverman	
CG	7	5101353	A	1992-03-31	Lupien	
CG	8	5148365	A	1992-09-15	Dembo	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Not for submission under 37 CFR 1.99)

Application Number	09546031
Filing Date	2000-04-10
First Named Inventor	Christopher Keith
Art Unit	3628
Examiner Name	Clement B. Graham
Attorney Docket Number	IVEN125461

CG	9	5253165	A	1993-10-12	Leiseca	
CC	10	5297031	A	1994-03-22	Guterman	
CG	11	5297032	A	1994-03-22	Trojan	
CG	12	5412804	A	1995-05-02	Krishna	
CG	13	5453601	A	1995-09-26	Rosen	
CG	14	5615269	A	1997-03-25	Micali	
CG	15	5689652	A	1997-11-18	Lupien	
CG	16	5787402	A	1998-07-28	Potter	
CG	17	5845266	A	1998-12-01	Lupien	
CG	18	5847845	A	1998-12-08	Takahashi	
CG	19	5915245	A	1999-06-22	Patterson, Jr.	

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Not for submission under 37 CFR 1.99)</i>	Application Number	09546031
	Filing Date	2000-04-10
	First Named Inventor	Christopher Keith
	Art Unit	3628
	Examiner Name	Clement B. Graham
	Attorney Docket Number	IVEN125461

CG	20	5924083	A	1999-07-13	Silverman	
CG	21	5953707	A	1999-09-14	Huang	
CG	22	5983200	A	1999-11-09	Slotnick	
CG	23	6029146	A	2000-02-22	Hawkins	
CG	24	6035289	A	2000-03-07	Chou	
CG	25	6068117	A	2000-05-30	Koehn	
CG	26	6101484	A	2000-08-08	Halbert	
CG	27	6131087	A	2000-10-10	Luke	
CG	28	6160204	A	2000-12-12	Steffens	
CG	29	6285989	B1	2001-09-04	Shoham	
CG	30	6317727	B1	2001-11-13	May	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Not for submission under 37 CFR 1.99)

Application Number	09546031
Filing Date	2000-04-10
First Named Inventor	Christopher Keith
Art Unit	3628
Examiner Name	Clement B. Graham
Attorney Docket Number	IVEN125461

CG	31	6317728	B1	2001-11-13	Kane	
CG	32	6321212	B1	2001-11-20	Lange	
CG	33	6343278	B1	2002-01-29	Jain	
CG	34	6359633	B1	2002-03-19	Balasubramaniam	
CG	35	6408282	B1	2002-06-18	Buist	
CG	36	6421653	B1	2002-07-16	May	
CG	37	6493682	B1	2002-12-10	Horigan	
CG	38	6601044	B1	2003-07-29	Wallman	
CG	39	6625583	B1	2003-09-23	Silverman	
CG	40	6629082	B1	2004-09-30	Hambrecht	
CG	41	6792399	B1	2004-09-14	Phillips	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Not for submission under 37 CFR 1.99)

Application Number	09546031
Filing Date	2000-04-10
First Named Inventor	Christopher Keith
Art Unit	3628
Examiner Name	Clement B. Graham
Attorney Docket Number	IVEN125461

If you wish to add additional U.S. Patent citation information please click the Add button.

**U.S.PATENT APPLICATION PUBLICATIONS**

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
CG	1	20030014354	A1	2003-01-16	Madoff	
CG	2	20030014379	A1	2003-01-16	Saias	

If you wish to add additional U.S. Published Application citation information please click the Add button.

**FOREIGN PATENT DOCUMENTS**

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
C	1							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
CG	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.	<input type="checkbox"/>
CG	2	Hull, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
CG	3	Livingston, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Not for submission under 37 CFR 1.99)</i>	Application Number	09546031
	Filing Date	2000-04-10
	First Named Inventor	Christopher Keith
	Art Unit	3628
	Examiner Name	Clement B. Graham
	Attorney Docket Number	IVEN125461

CC	4	"More Companies Buying Back Stock," The Salt Lake Tribune, April 9, 2000, < <a href="http://proquest.umi.com/pqdweb?index=6&amp;did=52501230&amp;SrchMode=1&amp;sid=21&amp;Fmt=3...">http://proquest.umi.com/pqdweb?index=6&amp;did=52501230&amp;SrchMode=1&amp;sid=21&amp;Fmt=3...</a> >[retrieved November 3, 2005].	<input type="checkbox"/>
CC	5	"Streamer Free Real-Time Stock Quote Service Registers 12,000 Users," PR Newswire, November 3, 1999, < <a href="http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.jhtml">http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.jhtml</a> > [retrieved April 5, 2004].	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

#### EXAMINER SIGNATURE

Examiner Signature	C. Graham	Date Considered	11/14/07
--------------------	-----------	-----------------	----------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.